

STATE OF CALIFORNIA  
Budget Change Proposal - Cover Sheet  
DF-46 (REV 08/15)



Fiscal Year 2016-17	Business Unit 7501	Department HUMAN RESOURCES	Priority No. 3
Budget Request Name 7501-015-BCP-BR-2016-GB		Program 6200	Subprogram

Budget Request Description  
Human Resources Audits

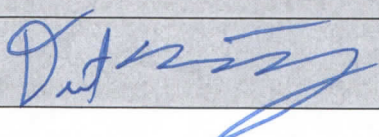
Budget Request Summary

This proposal requests 5.7 positions and \$701,000 (\$400,000 in General Fund, \$301,000 in Central Service Cost Recovery Fund) in fiscal year 2016-17, and 9.4 positions and \$991,000 (\$565,000 in General Fund, \$426,000 in Central Service Cost Recovery Fund) in fiscal year 2017-18 and ongoing to fund an audit program for human resource practices delegated to departments by the Department of Human Resources (CalHR). This audit function will allow CalHR to be more proactive in identifying compliance issues within departments.

Requires Legislation <input type="checkbox"/> Yes <input type="checkbox"/> No	Code Section(s) to be Added/Amended/Repealed	
Does this BCP contain information technology (IT) components? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If yes, departmental Chief Information Officer must</i>	Department CIO	Date
For IT requests, specify the date a Special Project Report (SPR) or Feasibility Study Report (FSR) was approved by the Department of Technology, or previously by the Department of Finance. <input type="checkbox"/> FSR <input type="checkbox"/> SPR Project No. Date:		
If proposal affects another department, does other department concur with proposal? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		

Prepared By Katie Hagen	Date 12/29/2015	Reviewed By Richard Gillihan	Date
Department Director Richard Gillihan 	Date 12/28/15	Agency Secretary Marybel Batjer 	Date 12/31/15

Department of Finance Use Only

Additional Review: <input type="checkbox"/> Capital Outlay <input type="checkbox"/> ITCU <input type="checkbox"/> FSCU <input type="checkbox"/> OSAE <input type="checkbox"/> CALSTARS <input type="checkbox"/> Dept. of Technology	
BCP Type: <input type="checkbox"/> Policy <input checked="" type="checkbox"/> Workload Budget per Government Code 13308.05	
PPBA 	Date submitted to the Legislature 11/7/14

## BCP Fiscal Detail Sheet

BCP Title: Human Resources Audits

DP Name: 7501-012-BCP-DP-2016-GB

### Budget Request Summary

	FY16					
	CY	BY	BY+1	BY+2	BY+3	BY+4
Positions - Permanent	0.0	5.5	9.0	9.0	9.0	9.0
Positions - Temporary	0.0	0.2	0.4	0.4	0.4	0.4
<b>Total Positions</b>	<b>0.0</b>	<b>5.7</b>	<b>9.4</b>	<b>9.4</b>	<b>9.4</b>	<b>9.4</b>
Salaries and Wages						
Earnings - Permanent	0	342	559	559	559	559
Earnings - Temporary Help	0	12	23	23	23	23
<b>Total Salaries and Wages</b>	<b>\$0</b>	<b>\$354</b>	<b>\$582</b>	<b>\$582</b>	<b>\$582</b>	<b>\$582</b>
Total Staff Benefits	0	179	292	292	292	292
<b>Total Personal Services</b>	<b>\$0</b>	<b>\$533</b>	<b>\$874</b>	<b>\$874</b>	<b>\$874</b>	<b>\$874</b>
Operating Expenses and Equipment						
5301 - General Expense	0	27	27	27	27	27
5302 - Printing	0	6	9	9	9	9
5304 - Communications	0	6	9	9	9	9
5320 - Travel: In-State	0	28	45	45	45	45
5322 - Training	0	11	18	18	18	18
5324 - Facilities Operation	0	63	0	0	0	0
5346 - Information Technology	0	27	9	9	9	9
<b>Total Operating Expenses and Equipment</b>	<b>\$0</b>	<b>\$168</b>	<b>\$117</b>	<b>\$117</b>	<b>\$117</b>	<b>\$117</b>
<b>Total Budget Request</b>	<b>\$0</b>	<b>\$701</b>	<b>\$991</b>	<b>\$991</b>	<b>\$991</b>	<b>\$991</b>

### Fund Summary

Fund Source - State Operations						
0001 - General Fund	0	400	565	565	565	565
9740 - Central Service Cost Recovery Fund	0	301	426	426	426	426
<b>Total State Operations Expenditures</b>	<b>\$0</b>	<b>\$701</b>	<b>\$991</b>	<b>\$991</b>	<b>\$991</b>	<b>\$991</b>
<b>Total All Funds</b>	<b>\$0</b>	<b>\$701</b>	<b>\$991</b>	<b>\$991</b>	<b>\$991</b>	<b>\$991</b>

### Program Summary

Program Funding						
6200 - Human Resources Management	0	701	991	991	991	991
<b>Total All Programs</b>	<b>\$0</b>	<b>\$701</b>	<b>\$991</b>	<b>\$991</b>	<b>\$991</b>	<b>\$991</b>

## Personal Services Details

Positions	Salary Information								
	Min	Mid	Max	CY	BY	BY+1	BY+2	BY+3	BY+4
5142 - Assoc Pers Analyst (Eff. 01-01-2016)				0.0	5.5	9.0	9.0	9.0	9.0
TH00 - Temporary Help (Eff. 01-01-2016)				0.0	0.2	0.4	0.4	0.4	0.4
<b>Total Positions</b>				<b>0.0</b>	<b>5.7</b>	<b>9.4</b>	<b>9.4</b>	<b>9.4</b>	<b>9.4</b>
<b>Salaries and Wages</b>	<b>CY</b>	<b>BY</b>	<b>BY+1</b>	<b>BY+2</b>	<b>BY+3</b>	<b>BY+4</b>			
5142 - Assoc Pers Analyst (Eff. 01-01-2016)	0	342	559	559	559	559			
TH00 - Temporary Help (Eff. 01-01-2016)	0	12	23	23	23	23			
<b>Total Salaries and Wages</b>	<b>\$0</b>	<b>\$354</b>	<b>\$582</b>	<b>\$582</b>	<b>\$582</b>	<b>\$582</b>			
<b>Staff Benefits</b>									
5150900 - Staff Benefits - Other	0	179	292	292	292	292			
<b>Total Staff Benefits</b>	<b>\$0</b>	<b>\$179</b>	<b>\$292</b>	<b>\$292</b>	<b>\$292</b>	<b>\$292</b>			
<b>Total Personal Services</b>	<b>\$0</b>	<b>\$533</b>	<b>\$874</b>	<b>\$874</b>	<b>\$874</b>	<b>\$874</b>			

## Analysis of Problem

### A. Budget Request Summary

This proposal requests 5.7 positions and \$701,000 (\$400,000 in General Fund, \$301,000 in Central Service Cost Recovery Fund) in fiscal year 2016-17, and 9.4 positions and \$991,000 (\$565,000 in General Fund, \$426,000 in Central Service Cost Recovery Fund) in fiscal year 2017-18 and ongoing to fund an audit program for human resource practices delegated to departments by the Department of Human Resources (CalHR). This audit function will allow CalHR to be more proactive in identifying compliance issues within departments.

### B. Background/History

Effective July 1, 2012, the Governor's Reorganization Plan Number One (GRP1) of 2011 consolidated all of the functions of the Department of Personnel Administration and the merit-related operational functions of the State Personnel Board (SPB) into CalHR. Specifically, SPB programs related to appointments consultation, career executive assignment allocations, test development, recruitment, examinations, psychological and medical screening, training, and the Office of Civil Rights transferred to CalHR along with the associated staff and funding. In addition, all of SPB's accounting, budget, business services, human resources, information technology, legislative affairs, and public information office responsibilities were transferred to CalHR.

GRP1 recognized and preserved SPB's constitutional authority to administer the merit system. As a result, in addition to retaining the Appeals Division, GRP1 created both a Policy Unit and Compliance Review Unit (CRU) at SPB to establish merit-related policy and conduct reviews of departmental merit-related practices to ensure compliance with laws, rules, and board policy. Currently, CRU performs cyclical standard reviews of four major areas: examinations, appointments, equal employment opportunity, and personal services contracts. CRU also conducts special investigations of certain agencies' merit-related personnel practices. Special investigations may be initiated in response to a specific request or when SPB obtains information suggesting a potential merit-related violation.

CalHR would like to expand the scope of items departments are audited on beyond merit-related issues into more operational practices that have been delegated to departments, and for which CalHR provides policy direction. Many of these practices have been delegated to departments for a number of years, and some are newly delegated practices. Many of these delegated practices are cost drivers for the state and are not currently being audited or monitored on a statewide basis. Some examples include ensuring departments are: authorizing Hiring Above Minimum salaries appropriately for new hires coming into state service; authorizing out-of-class pay appropriately, calculating salary determinations appropriately, designating confidential status appropriately, and ensuring its revisited when incumbents turn over; ensuring arduous pay is authorized appropriately, authorizing Administrative Time Off appropriately, etc. A comparison chart of current CalHR oversight functions, SPB audit functions and proposed CalHR audit functions can be found in Attachment 1.

These resources will allow CalHR to design an audit function that can respond quickly to changing trends and practices within the state civil service system. This takes on critical importance as the state looks to delegate more human resources functions to state departments, a core feature of the Governor's vision of civil service improvement. Delegation will only be successful with a review function that can proactively identify areas of concern and help departments successfully adopt new policies and procedures that historically were performed by SPB or CalHR. The alternative is a system where departments are given new responsibilities but little oversight, creating an increased risk of inconsistent practices, exposure, and liability.

## Analysis of Problem

### C. State Level Considerations

This proposal meets the following criteria for 2016-17 Budget Change Proposals as defined by the Department of Finance Budget Letter 15-09.

h. Cost-cutting measures or implementing efficiencies to offset unavoidable costs.

The proposal provides review to ensure that state departments are appropriately managing: human resource delegations, costly compensation criterion, appointments of employees, workers' compensation claims, citizenship verification, the layoff process, testing and verifying that it is job related and free of artificial bias or barriers, and equal access to state services for limited-English proficient persons. These reviews will help to avoid potential costly litigation related to improper personnel practices.

i. Improved budgeting practices related to zero-base budgeting, performance measures, and other efforts as directed by Executive Order B-13-11.

Reviewing the state's compensation and appointment practices, testing, workers compensation, and bilingual services programs will provide departments with important data as to how to improve their department's effectiveness.

### D. Justification

#### **Associate Personnel Analyst – 9.0 positions (2.0 effective July 1, 2016, and 7.0 effective January 1, 2017), and 0.4 Temporary Help**

Two positions will begin to develop and implement the audit tools and plan for the proposed scope growth listed in Attachment 1. The remaining seven positions are needed for full implementation of the audit plan of departments statewide.

Additional audit areas will include: compensation, exams, appointments, the layoff process, workers' compensation, citizenship, and bilingual services. These additional reviews will reduce the risk of litigation related to improper personnel practices and will provide departments information to improve their personnel practices. Adding these resources will allow CalHR to respond to issues that are identified and need immediate attention, due to a newly discovered human resource issue that needs to be audited.

#### **Compensation**

##### **Hiring Above Minimum (HAM)**

Authority - Government Code section 19836; Section 5 of Pay Scales.

Audit departments' use of HAMs by assessing applications and ensuring proper documentation is maintained in accordance with Section 250 of the Classification and Pay Guide. CalHR will review HAM packages prepared with the hiring package. HAMs allow payment above the minimum rate in the salary range in order to hire a person who has extraordinary qualifications. Departments have delegated authority to approve HAMs for extraordinary qualifications.

## Analysis of Problem

### Out-of-Class Pay

Authority - Government Code section 19818.16 and 19818.18; California Code of Regulations, title 2, sections 599.810 and 599.859; applicable Memorandums of Understanding.

Audit departments to determine if payment calculations are completed accurately and that departments have explored all options by reviewing documentation the department must maintain to process such transactions. When an employee is assigned out-of-class work he/she receives the rate of pay he/she would have received pursuant to California Code of Regulations, title 2, sections 599.673, 599.674, or 599.676, if appointed to the higher classification. Review would include the duration of out-of-class assignments to ensure no violation of union contract or law has occurred, thereby reducing the number of out-of-class grievances that are elevated to costly arbitration.

### Salary Determinations

Authority - California Code of Regulations, title 2, sections 599.673 – 599.677, and 599.681.

Audit departments to ensure they are applying the salary regulations accurately, identify inconsistencies, and verify appropriate documentation is maintained.

### Confidential Status

Authority - Government Code section 3513 (f).

Audit departments to ensure appropriate use of confidential designations, reporting of all employees who are designated confidential, and maintenance of appropriate documentation.

### Arduous Pay

Authority - Applicable Memorandums of Understanding; Pay Differential 62.

Audit departments to determine that they are administering the provisions of Pay Differential 62 accurately. This will entail a review of documentation requirements outlined in PML 2013-006 and applicable Memorandums of Understanding. The arduous pay program was established to provide additional compensation to Fair Labor Standards Act (FLSA) exempt employees assigned to work week groups E and SE when there is no other way to recognize the performance of additional duties and responsibility which exceed the normal demands of an employee's classification/position.

### Administrative Time Off (ATO)

Authority - Government Code section 19991.10; California Code of Regulations, title 2, section 599.785.5; applicable Memorandums of Understanding.

Audit departments to ensure they are in compliance with all laws and regulations including appropriate use of ATO as outlined in policy memorandums. Departments must maintain all necessary documentation.

### Timekeeping

Authority - Government Code sections 3527 (b), 19143, 19815.4, 19839, 19849.18, 19851, 19853, 19854, 19856, 19858.1 - 19858.4, 19859, 19859.3, 19860, 19991.3, 19991.4; California Code of Regulations, title 2, sections 599.608, 599.609, 599.705, 599.707, 599.737.5, 599.737.7, 599.738, 599.739, 599.739.1, 599.740, 599.742.1, 599.744, 599.746, 599.747, 599.752, 599.672, 599.672.1, 599.785; and applicable Memorandums of Understanding.

Audit departments to ensure compliance with all laws, regulations, and policies. Review will ensure that departments create a monthly internal audit process to verify all leave input into any leave accounting system is keyed accurately and timely. Departments must maintain accurate and timely leave accounting records.

## Analysis of Problem

### **Exams/Appointments**

#### Withholds

Authority - Government Code section 18935.

Audit departments to ensure withholds are processed appropriately. Review will ensure that the withholds are applied using the following criteria:

The department or a designated appointing power refused to examine, or after examination refused to declare as eligible, or withheld from an eligible list, before the appointment, anyone who lacked any of the requirements for the examination, had been dismissed from any position for any cause, had resigned from any position not in good standing in order to avoid dismissal, had misrepresented himself or herself in the application or examination process, or had been found to be not qualified for employment pursuant to rule.

Review would include a sampling of departmental withholds to ensure the proper procedures were followed and notifications provided.

#### Job Analyses Quality Review

Authority - The Merit Selection Manual (MSM); California Code of Regulations, title 2, section 50.

The SPB audit staff verifies that departments have a job analysis on file for each exam; however, they do not review the job analyses to ensure that they adhere to legal and professional standards outlined in the job analysis section of the MSM, and that certain elements are included in the job analysis studies.

Review of job analyses would ensure that it serves as the primary basis for demonstrating and documenting the job-relatedness of examination processes conducted for the establishment of eligible lists within the state civil service. The MSM requires that job analyses adhere to the legal and professional standards outlined in the job analysis section of the MSM, and that certain elements must be included in the job analysis studies. Those requirements include the following: (1) the job analysis be performed for the job for which the subsequent selection procedure is developed and used; (2) the methodology utilized be described and documented; (3) the job analytic data be collected from a variety of current sources; (4) job tasks be specified in terms of importance or criticality, and their frequency of performance; and (5) job tasks must be sufficiently detailed to derive the requisite knowledge, skills, abilities, and personal characteristics that are required to perform the essential tasks and functions of the job classification.

#### Additional Appointments

Authority - Government Code sections 19210 - 19214; applicable Memorandums of Understanding.

Audit of departments would ensure compliance with CalHR's additional appointment policy and necessary documentation. Departments must maintain all necessary documentation. A new audit function would allow CalHR to identify and order corrective action for any unauthorized additional appointments that occur among departments. This is particularly critical among additional appointments for managers and supervisors.

#### Appropriate use of Special Consultants, Retired Annuitants, and Student Assistants

Authority - Article VII, section 5 of the California Constitution; Government Code sections 18529, 19058, 19059, 19144; applicable Memorandums of Understanding.

Audit of departments would ensure appropriate use of the special consultants, student assistants, and retired annuitants by reviewing establishment and hiring documentation. PML 2013-023 established policy on the appropriate use of student assistants and retired annuitants in coordination with employee organizations and bargaining unit contracts. Special consultants, like retired annuitants and student

## Analysis of Problem

assistants are temporary workers meant to be used in specific, limited circumstances. Departments currently have authority to hire special consultants that meet published criteria in the Classification and Pay Guide, as well as student assistants that meet the criteria found in the above-referenced PML and applicable bargaining unit contracts. Departments also have delegation to hire retired annuitants that meet the criteria set in the PML 2013-023, as long as the former employee has been retired for more than 180 days, as required by retirement law (AB 340 2012; PML 2013-001). Departments must request exceptions to the 180-day waiting period through CalHR, and CalPERS monitors departments for violations of that restriction. However, CalHR does not monitor the appropriate allocation of special consultants, retired annuitants or student assistants. This new audit function would allow monitoring of the duration of such appointments, as well as the appropriateness of the allocations, ensuring the classification plan is appropriately used and no violation of bargaining unit contracts or CalHR policy has occurred.

### Limited-Term (LT) Appointments

Authority - Government Code sections 19080 - 19083; California Code of Regulations, title 2, sections 281 and 282.

Audit of departments would ensure they are in compliance with all laws and regulations including appropriate use of LT appointments. Departments must maintain all necessary documentation. Review would include review of department LT appointments and ensure employee rights and the law are not violated. Auditing of temporary/intermittent appointment parameters, may also reduce or limit the number of full-time employees the state will report under the Affordable Care Act (ACA) Employer Shared Responsibility provision.

### Layoff Process

Authority - Government Code section 19816; applicable Memorandums of Understanding.

Audit of departments would ensure compliance with the layoff process. This may include assessment of good faith, pre-mitigation factors, area of layoff, maintenance of layoff tool, performance appraisal, mandatory right of return, demotional chart review, seniority order, integrity in the selection of positions, State Restriction of Appointment (SROA) lists, posting, exempt service/military questionnaire, noticing requirements, federal mandate letter, and final distribution of paychecks.

### Workers' Compensation

Authority - California Insurance Code section 11871; California Labor Code section 3363.5.

Audit of departments would ensure that departments are providing specific notices to their employees to inform them of their rights and responsibilities under California's workers' compensation law. Failure to provide these notices creates the potential for penalties and increased workers' compensation expenses.

Audit of departments would also ensure adherence to the California Labor Code which allows public employers to extend workers' compensation coverage to volunteers that perform services for the organization. Extending this coverage provides protection from civil suits. Each state department is required to notify CalHR and the state's claims administrator, State Compensation Insurance Fund, whether or not the department is extending coverage to volunteers. Failure to notify CalHR and the claims administrator increases the risk of civil claims and may lead to liability determinations that are contrary to the best interests of the departments.

### Citizenship

Authority - Immigration Reform and Control Act of 1986 (IRCA).

Audit of departments ensures compliance with the IRCA by verifying all employees have a completed Form I-9 in their Official Personnel File. The IRCA was passed and signed into law on November 6,



## Analysis of Problem

1986. The purpose of this legislation was to amend, revise, and reform/re-assess the status of unauthorized immigrants set forth in the Immigration and Nationality Act. Failure to comply with appropriate I-9 completion and processing, could lead to costly fines by the Federal government.

### Dymally-Alatorre Bilingual Services Act

Authority - Government Code sections 7290 - 7299.8, and 11000.

Audit of departments ensures compliance with the act which requires that every agency directly involved in providing public services, employ bilingual employees and have established bilingual resources when a substantial portion of its clients are limited-English proficient. The act requires that materials explaining services in English be translated into languages spoken by a substantial number of the limited-English proficient serviced population. The act requires agencies to document procedures to meet language needs and implement plans to address deficiencies and complaints regarding services.

Review would include review of agencies serving the public that are required to conduct a biennial language survey and report to CalHR the number of bilingual employees in public contact positions including the language in which they are certified, the number of bilingual staff needed, and the number and percentage of limited-English proficient clients served by the agency. Agencies are also required to conduct an analysis of the language survey findings to determine if the deficiencies reported are actual deficiencies, identify the anticipated number of vacancies that could be filled with certified staff to correct deficiencies, submit a bilingual services policy signed by the director that outlines the agency's commitment to comply with the act, identify bilingual services available to its limited-English proficient clients, and provide a list of written materials that are required to be translated or otherwise made accessible.

Departments are not monitored to ensure that they are fully compliant with the act and to ensure that they have a sufficient number of qualified bilingual staff and translated materials to meet the needs of their limited-English proficient customers. There is no evaluation of the need for bilingual staff or verification that appropriate plans are in place to address deficiencies and resolve complaints in a timely manner.

### Administrative Hearing and Medical Interpreter Program

Authority - Government Code sections 11435.05 - 11435.65.

Audit of departments would include compliance of the above Government Codes which require language assistance (oral interpretation or written translation into English of a language other than English or of English into another language for a party who cannot speak or understand English or who can do so only with difficulty) be provided to individuals during administrative hearings and medical examinations with state departments. Language assistance is provided by a certified interpreter paid for by the state department conducting the hearing or examination. CalHR is responsible for maintaining the state's list of administrative hearing and medical interpreters and overseeing the Interpreter Program.

Currently, departments' use of interpreters is not being reviewed to determine the need for interpreters or to determine whether certified or non-certified interpreters are being used and proper documentation is maintained.

### **E. Outcomes and Accountability**

This proposal provides a more effective oversight function of state human resources functions to ensure consistent application of rules and regulations, and avoid unfairness and liability. The current functions being performed will be augmented to help reduce and avoid complaints to ensure that compensation, appointments and workers' compensation are managed appropriately, state testing is job related and free of artificial bias and that limited-English proficient clients receive equal access to state services. This proposal also ensures that additional special investigations or new audit scope can be added as a result of new issues identified to ensure that delegated personnel actions are in compliance with civil service laws and board rules.

### **F. Analysis of All Feasible Alternatives**

#### **Alternative 1: Approve this request.**

Pros: This will allow CalHR to audit departments on human resource practices and will allow CalHR to put into place a structure that will support future delegation of human resources functions, bringing us closer to the Governor's vision of civil service improvement.

Cons: There would be an increased cost to the state and an increase to the state workforce.

#### **Alternative 2: Approve 5.0 positions.**

Pros: This would allow CalHR to develop and implement the audit tools and plan, and would allow for a limited increase to the scope of review activities, to include areas such as hiring above minimum, arduous pay, additional appointments, Dymally-Alatorre Bilingual Services Act, and Administrative Hearing and Medical Interpreter Program. This alternative would also be less costly to the state.

Cons: This alternative would not allow for full review of the more complex tasks, such as legally defensible job analysis, salary determinations, withholds, and the appropriate use of Special Consultants, Retired Annuitants, and Student Assistants. Partial reviews may not be sufficient to avoid costly litigation related to improper personnel practices and will not provide departments with all the data needed to improve their programs' effectiveness.

#### **Alternative 3: Do not approve this request.**

Pros: There would be no increased cost to the state or the state workforce.

Cons: This alternative would reduce the chances that delegation of future human resources functions to departments could be accomplished effectively. This would not allow CalHR to perform additional reviews leaving departments open to potential legal challenges related to improper personnel practices and lack of services for limited-English proficient clients.

## Analysis of Problem

### G. Implementation Plan

Time Frame	Action/Outcome
May – July 2016	Recruit and hire two positions.
July – December 2016	Develop audit tools.
November 2016 – January 2017	Recruit and hire remaining 7.4 positions.
January 2017	Begin human resources audits.

### H. Supplemental Information

See attached Workload Matrix and Attachment 1 – Comparison of Current CalHR Oversight Functions, SPB Audit Functions, and Proposed CalHR Audit Function.

### I. Recommendation

Approve Alternative 1. This will allow CalHR to audit departments on human resource practices, beginning in January 2017. It will also allow CalHR to put into place a structure that will support future delegation of human resources functions, bringing us closer to the Governor's vision of civil service improvement.

DEPARTMENT OF HUMAN RESOURCES  
2016-17 BUDGET YEAR  
BUDGET CHANGE PROPOSAL  
WORKLOAD MATRIX

DIVISION: Personnel Management				
POSITION TITLE: Associate Personnel Analyst				
Positions Requested	Workload	Workload Standard		Basis for Standard
		Year One	Year Two (on-going)	
Associate Personnel Analysts: 2.0	Works with CalHR to develop review tools and protocols and to communicate with departments regarding the new review activities that will begin in January 2017  <i>Purpose: To ensure that the unit is prepared to begin reviews in January 2017</i>	1,800	-	
Associate Personnel Analysts: 9.0 Temporary Help: 0.4	<b><u>Job Analysis</u></b>  Quality Review of Job Analysis  <i>Purpose: To ensure that state testing is job related and free of artificial bias or barriers</i>	233	465	Workload is based on existing positions doing similar job functions.
	<b><u>Bilingual Services</u></b>  May include: language survey review, bilingual testing, assignment, and pay.  <i>Purpose: Ensure that limited-English proficient persons receive equal access to state services</i>	139	277	
	<b><u>Exams/Appointments</u></b>  May include: unlawful appointment investigations, withholds, 211's, additional appointments per CalHR policy, appropriate use of Special Consultants, Retired Annuitants, and Student Assistants, and limited-term appointments.	2,850	5,700	
	<i>Purpose: To ensure the integrity of the civil service hiring process</i>			
	<b><u>Compensation</u></b>			

Positions Requested	Workload	Workload Standard		Basis for Standard
	<p>May include: out-of-class p, hire above minimum, salary determinations, confidential status, arduous pay, administrative time off, and timekeeping.</p> <p><i>Purpose: To ensure employees are appropriately compensated and avoid the improper expenditure of state funds</i></p>	1,100	2,200	
	<p><b><u>Citizenship</u></b>            Verification of I9's and H1B and Other Employment Visas Process</p> <p><i>Purpose: To ensure compliance with federal guidelines and avoid penalty fees.</i></p>	200	400	
	<p><b><u>Layoff</u></b>            Layoff Process</p> <p><i>Purpose: To ensure employee's are afforded their rights</i></p>	100	200	
	<p><b><u>Workers' Compensation</u></b>            May include: workers' compensation agreements for volunteers, and workers' compensation compliance.</p> <p><i>Purpose: To ensure employee's are afforded their rights</i></p>	150	300	
	<p><b><u>General</u></b>            Follow Up and Communication with Departments, Research, Consultation with CalHR and Legal, and Report Writing</p>	3,500	7,000	Review takes one third of the audit time, the remainder is spent on follow up; research; consultation with departments, CalHR, and Legal; and report writing
Total Hours		10,072	16,542	

Comparison of Current CalHR Oversight Functions, SPB Audit Functions, and Proposed CalHR Audit Functions

ATTACHMENT 1

Human Resources Quality Review (HRQR)* (Review & Training)	Delegation Project* (Monthly Monitoring of Self-Reporting)	SPB Audits today (Dept. Audit Every 3 Years)	Audits proposed scope growth
Position Allocation (Review & Training)	Unlawful Appointments	EEO Program	Compensation:
Duty statements (Training)	Exceptional Allocations	Supervisor Training (Gov. Code § 19995.4)	Hiring Above Minimum (HAM)
Class Specifications (Training)	CEA Leveling/Salary Exceptions	Sexual Harassment Training (Gov. Code § 12950.1)	Out-of-Class Pay
Out-of-Class Grievances (Training)		Ethics Training (Gov. Code § 11146)	Salary Determinations
		Examinations (Review of Exam File)	Confidential Status
		Appointments including:	Arduous Pay
		Transfers/Permissive Reinstatements	Administrative Time Off (ATO)
		Mandatory Reinstatements	Timekeeping
		Temporary Authorization Utilization (TAU)	
		Emergency Appointments	Exams/Appointments:
		Training & Developments Assignment	Withholds
		Personal Services Contracts (Gov. Code § 19130)	Additional Appointments
			Appropriate use of Special Consultants, Retired Annuitants, and Student Assistants
			Limited-Term Appointments
			Job Analysis
			Layoff Process
			Worker's Compensation
			Citizenship
			Bilingual Services

\* Provide guidance and consultation